

IN THE UNITED STATES DISTRICT COURT
FOR THE NORTHERN DISTRICT OF CALIFORNIA
SAN JOSE DIVISION

USA,

CASE NO. 5:11-cr-00846-EJD

Plaintiff(s),

LIST OF ADMITTED EXHIBITS FOR
DELIBERATIONS

v.

ASHVIN DESAI,

Defendant(s).

The subsequent pages are the List of Exhibits by the Government and the Defendant as admitted into evidence and were submitted to the jury for deliberations.

DATED: 9/30/2013

FOR THE COURT,
Richard W. Wieking, Clerk

by: Elizabeth C. Garcia
Elizabeth C. Garcia
Courtroom Deputy

Exhibit Number	Date ID	Date Admitted	Sponsoring Witness	Description	Bates Range
1	9/18/2013	9/18/2013	Tim Mathers	2007 U.S. Individual Income Tax Return, Form 1040, for Ashvin and Nila Desai	
2	9/18/2013	9/18/2013	Tim Mathers	2008 U.S. Individual Income Tax Return, Form 1040, for Ashvin and Nila Desai	
3	9/18/2013	9/18/2013	Tim Mathers	2009 U.S. Individual Income Tax Return, Form 1040, for Ashvin and Nila Desai	
4	9/18/2013	9/18/2013	Tim Mathers	2009 U.S. Individual Income Tax Return, Form 1040, for Neal Desai	
5	9/18/2013	9/18/2013	Tim Mathers	2009 U.S. Individual Income Tax Return, Form 1040, for Ami Desai	
6	9/18/2013	9/18/2013	Tim Mathers	2007 Form 1040 Instructions	
7	9/18/2013	9/18/2013	Tim Mathers	2008 Form 1040 Instructions	
8	9/18/2013	9/18/2013	Tim Mathers	2009 Form 1040 Instructions	
9	9/18/2013	9/18/2013	Tim Mathers	Blank Form TD F 90-22.1, Report of Foreign Bank and Financial Accounts (Rev. July 2000)	
10	9/18/2013	9/18/2013	Tim Mathers	Blank Form TD F 90-22.1, Report of Foreign Bank and Financial Accounts (Rev. October 2008)	
28	9/10/2013	9/11/2013	Vandana Katju	Email dated July 14, 2006 from Vandana Katju re: reactivation of account	HSBC-DESAI-00000004 - HSBC-DESAI-00000006
29	9/10/2013	9/11/2013	Vandana Katju	Email dated July 20, 2006 from Ashvin Desai re: transfer	HSBC-DESAI-00000055 - HSBC-DESAI-00000056

30	9/10/2013	9/11/2013	Vandana Katju	Email dated September 25, 2006 from Vandana Katju re: internet banking	HSBC-DESAI-0000133
31	9/10/2013	9/11/2013	Vandana Katju	Email dated October 19, 2006 from Vandana Katju re: confirmation	HSBC-DESAI-0000173 - HSBC-DESAI-0000175
32	9/10/2013	9/11/2013	Vandana Katju	Email dated October 24, 2006 from Mark Bradley re: payment confirmation	HSBC-DESAI-0000194
36	9/10/2013	9/11/2013	Vandana Katju	Email dated December 16, 2006 from Ashvin Desai re: contact information	HSBC-DESAI-0000259 - HSBC-DESAI-0000260
37	9/10/2013	9/11/2013	Vandana Katju	Email dated January 22, 2007 from Mayur Patni re: account in India	HSBC-NRI-0005889 - HSBC-NRI-0005891
39	9/10/2013	9/11/2013	Vandana Katju	Documents relating to deposit dated January 30, 2007	HSBC-NRI-0041046 - HSBC-NRI-0041048; HSBC-NRI-0041106
41	9/10/2013	9/11/2013	Vandana Katju	Letter dated April 18, 2007 from Ashvin Desai and Neal Desai re: breaking deposit	HSBC-DOJ-030839
44	9/10/2013	9/11/2013	Vandana Katju	Email dated May 10, 2007 from Vandana Katju re: follow-up	HSBC-DESAI-0000439
46	9/10/2013	9/12/2013	Vandana Katju	Email dated June 12, 2007 from Ashvin Desai re: Singapore HSBC	HSBC-DESAI-0000442
47	9/10/2013	9/12/2013	Vandana Katju	Email dated June 13, 2007 from Ashvin Desai re: interest rates	HSBC-DESAI-0000444 - HSBC-DESAI-0000445
48	9/10/2013	9/11/2013	Vandana Katju	NRI Personal Account Opening Form for Nila Desai and Ami Desai	HSBC-DOJ-030901 - HSBC-DOJ-030908
49	9/10/2013	9/12/2013	Vandana Katju	Email dated July 24, 2007 from NRI Call Center re: screen dumps	HSBC-DESAI-0000544- HSBC-DESAI-0000548
50	9/10/2013	9/12/2013	Vandana Katju	Email dated July 24, 2007 from NRI Call Center re: screen dumps	HSBC-DESAI-0000705; HSBC-DESAI-0000710- HSBC-DESAI-0000713

51	9/10/2013	9/11/2013	Vandana Katju	Email dated July 25, 2007 from Vandana Katju re: Singapore	HSBC-DESAI-0000714- HSBC-DESAI-0000717
52	9/10/2013	9/11/2013	Vandana Katju	Email dated July 31, 2007 from Ashvin Desai re: signing of bank opening papers	HSBC-DESAI-0000721
53	9/10/2013	9/12/2013	Vandana Katju	Email dated August 1, 2007 from Milind Gala re: screen dumps	HSBC-DESAI-0000731- HSBC-DESAI-0000732
54	9/10/2013	9/11/2013	Vandana Katju	Email dated August 7, 2007 from Ashvin Desai re: Singapore Citibank	HSBC-DESAI-0000744- HSBC-DESAI-0000745
55	9/10/2013	9/11/2013	Vandana Katju	Email dated August 14, 2007 from Vandana Katju re: follow-up	HSBC-DESAI-0000844
56	9/10/2013	9/11/2013	Vandana Katju	Email dated August 15, 2007 from Sukrant Gupta re: reactivation of dormant account	HSBC-DESAI-0000858- HSBC-DESAI-0000869
57	9/10/2013	9/17/2013	Aarti Kumar	Email dated August 21, 2007 from NRI Call Center re: screen dumps	HSBC-DESAI-0000939- HSBC-DESAI-0000941
58	9/10/2013	9/11/2013	Vandana Katju	Email dated August 23, 2007 from Ashvin Desai re: internet banking	HSBC-DESAI-0000949
59	9/10/2013	9/12/2013	Vandana Katju	Email dated August 23, 2007 from NRI Call Center re: screen dumps	HSBC-DESAI-0000950- HSBC-DESAI-0000953
60	9/10/2013	9/17/2013	Aarti Kumar	Email dated August 30, 2007 from Vandana Katju re: pending issues	HSBC-DESAI-0001030- HSBC-DESAI-0001032
61	9/10/2013	9/12/2013	Vandana Katju	Email dated September 6, 2007 from Ashvin Desai re: ATM PIN	HSBC-DESAI-0001069
62	9/10/2013	9/12/2013	Vandana Katju	Email dated Septemebtr 25, 2007 from Ashvin Desai re: HSBC China	HSBC-DESAI-0001076
63	9/10/2013	9/17/2013	Aarti Kumar	Email dated February 7, 2008 from Aarti Kumar re: pay order	HSBC-DESAI-0001145- HSBC-DESAI-0001146
64	9/10/2013	9/17/2013	Aarti Kumar	Email dated February 22, 2008 from Ashvin Desai re: NRO deposit	HSBC-DESAI-0001169

66	9/10/2013	9/11/2013	Vandana Katju	Documents relating to deposit dated February 28, 2008	HSBC-DOJ-030812; HSBC-DOJ-030815-HSBC-DOJ-030819
69	9/10/2013	9/11/2013	Vandana Katju	Documents relating to deposit dated March 5, 2008	HSBC-DOJ-030821-HSBC-DOJ-030823; HSBC-DOJ-030825-HSBC-DOJ-030826
70	9/10/2013	9/17/2013	Aarti Kumar	Email dated March 21, 2008 from Aarti Kumar re: deposit details	HSBC-DESAI-0001469-HSBC-DESAI-0001472
71	9/10/2013	9/17/2013	Aarti Kumar	Documents relating to deposit dated May 29, 2008	HSBC-DOJ-030829; HSBC-DOJ-030831; HSBC-NRI-0041053
72	9/10/2013	9/17/2013	Aarti Kumar	Email dated April 10, 2008 from Pooja Babbar re: screen shots	HSBC-DESAI-0001491-HSBC-DESAI-0001492; HSBC-DESAI-0001497-HSBC-DESAI-0001500
73	9/10/2013	9/17/2013	Aarti Kumar	Email dated April 23, 2008 from Aarti Kumar re: tax declaration	HSBC-DESAI-0001518-HSBC-DESAI-0001520
74	9/10/2013	9/17/2013	Aarti Kumar	Email dated April 24, 2008 from Ashvin Desai re: exchange rates	HSBC-DESAI-0001559-HSBC-DESAI-0001560
75	9/10/2013	9/17/2013	Aarti Kumar	Email dated June 16, 2008 from Aarti Kumar re: deposits	HSBC-DESAI-0001697-HSBC-DESAI-0001699
76	9/10/2013	9/17/2013	Aarti Kumar	Email dated June 16, 2008 from Ashvin Desai re: promotion letter	HSBC-DESAI-0001700
77	9/10/2013	9/17/2013	Aarti Kumar	Letter dated July 22, 2008 from Ashvin Desai re: deposit	HSBC-DOJ-030866 - HSBC-DOJ-030867
78	9/10/2013	9/17/2013	Aarti Kumar	Letter dated July 30, 2008 from Ashvin Desai and Neal Desai re: deposit	HSBC-DOJ-030873 - HSBC-DOJ-030874

79	9/10/2013	9/17/2013	Aarti Kumar	Letter dated July 30, 2008 from Ashvin Desai re: deposit	HSBC-DOJ-030871 - HSBC-DOJ-030872
81	9/10/2013	9/17/2013	Aarti Kumar	Email dated October 22, 2008 from Ashvin Desai re: exchange rates	HSBC-DESAI-0001976 - HSBC-DESAI-0001977
83	9/10/2013	9/17/2013	Aarti Kumar	Email dated October 24, 2008 from Aarti Kumar re: FCNR conversion	HSBC-DESAI-0002044 - HSBC-DESAI-0002046
84	9/10/2013	9/17/2013	Aarti Kumar	Email dated October 27, 2008 from Aarti Kumar re: transaction confirmation	HSBC-DESAI-0002157
85	9/10/2013	9/12/2013	Vandana Katju	Email dated January 26, 2009 from Ashvin Desai re: ATM access	HSBC-DESAI-0002370
86	9/10/2013	9/17/2013	Aarti Kumar	Email dated February 3, 2009 from Aarti Kumar re: funds transfer	HSBC-DESAI-0002403 - HSBC-DESAI-0002404
90	9/10/2013	9/12/2013	Vandana Katju	Email dated February 9, 2009 from Ashvin Desai re: HSBC Dubai	HSBC-DESAI-0002640
91	9/10/2013	9/17/2013	Aarti Kumar	Email dated February 11, 2009 from Aarti Kumar re: Dubai account	HSBC-DESAI-0002681 - HSBC-DESAI-0002682
92	9/10/2013	9/17/2013	Aarti Kumar	Email dated February 11, 2009 from Aarti Kumar re: Dubai account	HSBC-DESAI-0002702 - HSBC-DESAI-0002703
93	9/10/2013	9/17/2013	Aarti Kumar	Letter dated February 11, 2009 from Ashvin Desai re: closure of UK account	HSBC-DESAI-0003012
94	9/10/2013	9/17/2013	Aarti Kumar	Email dated March 19, 2009 from Aarti Kumar re: Dubai deposit	HSBC-DESAI-0003027
97	9/10/2013	9/17/2013	Aarti Kumar	Email dated May 22, 2009 from Aarti Kumar re: fund conversion	HSBC-DESAI-0003130 - HSBC-DESAI-0003131
98	9/10/2013	9/17/2013	Aarti Kumar	Email dated May 22, 2009 from Aarti Kumar re: Citibank	HSBC-DESAI-0003126 - HSBC-DESAI-0003127
99	9/10/2013	9/17/2013	Aarti Kumar	Email dated June 15, 2009 from Aarti Kumar re: lunch meeting	HSBC-DESAI-0003185

100	9/10/2013	9/17/2013	Aarti Kumar	Email dated July 15, 2009 from Aarti Kumar re: Dubai account statements	HSBC-DESAI-0003265
101	9/10/2013	9/17/2013	Aarti Kumar	Email dated October 30, 2009 from Aarti Kumar re: debit card	HSBC-DESAI-0003891 - HSBC-DESAI-0003893
103	9/10/2013	9/17/2013	Aarti Kumar	Email dated November 4, 2009 from Aarti Kumar re: debit card and PINs	HSBC-DESAI-0003444
104	9/10/2013	9/12/2013	Vandana Katju	Email dated February 18, 2010 from Vandana Katju re: correspondence from HSBC	HSBC-DESAI-0003509
105	9/10/2013	9/17/2013	Aarti Kumar	Email dated March 1, 2010 from Ashvin Desai re: account statements	HSBC-DESAI-0003510
109	9/10/2013	9/17/2013	Aarti Kumar	Email dated April 21, 2010 from Ashvin Desai re: statement mailings	HSBC-DESAI-0004062
132	9/10/2013	9/17/2013	Aarti Kumar	Letter dated March 29, 2010 from Desai re: transfer of funds	HSBC-DESAI-0003937
133	9/10/2013	9/17/2013	Vandana Katju	Email dated April 14, 2008 from Desai re: HSBC USA	HSBC-DESAI-0001501
134	9/10/2013	9/12/2013	Vandana Katju	Account Summary spreadsheet	HSBC-DOJ-030862
136	9/10/2013	9/12/2013	Vandana Katju	Account spreadsheet	HSBC-DOJ-030924-HSBC- DOJ-030925
137	9/12/2013	9/12/2013	Vandana Katju	HSBC India Interest Statements	
143	9/19/2013	9/20/2013	Jim Oertel	CP2000 dated 3/28/05 re: Tax Year 2003	
144	9/19/2013	9/20/2013	Jim Oertel	CP2000 dated 6/13/05 re: Tax Year 2003	
145	9/19/2013	9/20/2013	Jim Oertel	CP2000 dated 10/30/06 re: Tax Year 2004	
146	9/19/2013	9/20/2013	Jim Oertel	CP2501 dated 5/29/07 re: Tax Year 2005	
147	9/19/2013	9/20/2013	Jim Oertel	CP2000 dated 9/17/07 re: Tax Year 2005	
148	9/19/2013	9/20/2013	Jim Oertel	CP2501 dated 3/17/08 re: Tax Year 2006	
149	9/19/2013	9/20/2013	Jim Oertel	CP2000 dated 6/2/08 re: Tax Year 2006	
150	9/19/2013	9/20/2013	Jim Oertel	CP2501 dated 2/2/09 re: Tax Year 2007	
151	9/19/2013	9/20/2013	Jim Oertel	CP2000 dated 4/13/09 re: Tax Year 2007	

152	9/19/2013	9/20/2013	Jim Oertel	CP2000 dated 11/30/09 re: Tax Year 2007	
153	9/19/2013	9/20/2013	Jim Oertel	CP2000 dated 9/7/10 re: Tax Year 2008	
154	9/10/2013	9/11/2013	Vandana Katju	Letter signed by Desai re: terms for forward contracts	HSBC-DOJ-030855-HSBC-DOJ-030858
155	9/10/2013	9/11/2013	Vandana Katju	Operating Guidelines of the New York Representative Office of The Hong Kong and Shanghai Banking Corporation Limited (12/29/06 rev.)	HSBC-NRI-0010692-HSBC-NRI-0017002
156	9/10/2013	9/11/2013	Vandana Katju	Operating Guidelines of the California Representative Office of The Hong Kong and Shanghai Banking Corporation Limited (7/27/07 rev.)	HSBC-DESAI-0004101-HSBC-DESAI-0004115
160	9/18/2013	9/18/2013	Stipulation	Stipulation # 1 (citizenship)	
161	9/17/2013	9/17/2013	Stipulation	Stipulation # 2 (Ami Desai Wushnig)	
162	9/17/2013	9/17/2013	Stipulation	Stipulation # 3 (Neal Desai)	
163	9/19/2013	9/19/2013	Jim Oertel	Account Transcript, Ashvin and Nila Desai, 2003	
164	9/19/2013	9/19/2013	Jim Oertel	Account Transcript, Ashvin and Nila Desai, 2004	
165	9/19/2013	9/19/2013	Jim Oertel	Account Transcript, Ashvin and Nila Desai, 2005	
166	9/19/2013	9/19/2013	Jim Oertel	Account Transcript, Ashvin and Nila Desai, 2006	
167	9/19/2013	9/19/2013	Jim Oertel	Account Transcript, Ashvin and Nila Desai, 2007	
168	9/19/2013	9/19/2013	Jim Oertel	Account Transcript, Ashvin and Nila Desai, 2008	
169	9/19/2013	9/19/2013	Jim Oertel	Account Transcript, Ashvin and Nila Desai, 2009	

United States v. Desai
Defendant's Exhibit List

Exhibit	Date ID	Date Admitted	Description	Bates Range
K	9/18/13	9/18/13	IRS Transcript, Tax Year 2007	
L	9/18/13	9/18/13	IRS Transcript, Tax Year 2008	
M	9/18/13	9/18/13	IRS Transcript, Tax Year 2009	
Z	9/30/13	9/30/13	Expert Mark Matthews' Resume	
GG - 1	9/20/13	9/20/13	Email from James Oertel to Michael Helgesen, dated Wednesday, June 06, 2012, explaining tax calculations of Ashvin Desai for 2007 and 2008.	
GG - 2	9/20/13	9/20/13	Backing Into Amounts on IDRS to Input into RGS, James Oretel (IRS Revenue Agent)	
OO	9/18/13	9/30/13	Certified copy of Hong Kong Shanghai Bank Corporation (HSBC) Ltd.'s 2007 Application for Representative Office at Fremont, California; Correspondence between former CA Dept. of Financial Institutions and counsel for HSBC regarding application.	

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Defendant's Exhibit List

Exhibit	Date ID	Date Admitted	Description	Bates Range
PP	9/18/13	9/30/13	Certified copy of Hong Kong Shanghai Bank Corporation (HSBC) Ltd.'s surrendering HSBC License for Fremont, California, Representative Office	
UU	9/12/13	9/12/13	Non Prosecution Agreement, Vandana Katju, and Department of Justice, dated April 29, 2013	
VV	9/12/13	9/12/13	IRS Offshore Voluntary Disclosure Letter, Vandana Katju, dated August 20, 2013	
WW	9/12/13	9/12/13	Proffer Agreement, Vandana Katju, dated April 16, 2013	
XX	9/17/13	9/17/13	Email from Patni to Neha Singhal, Priti Dahani, Vandana Kaju "Push for sales" Dated Jan. 16, 2007	
ZZ	9/17/13	9/17/13	Email from Aarti Kumar to Ashvin Desai, cc Vandana Katju, "NEW DEPOSIT," dated March 1, 2008	
AAA	9/17/13	9/17/13	Email from Vandana Katju to Ankush Tandon, "Boss—convince to place", dated July 20, 2006	
BBB	9/17/13	9/17/13	Email from Manasije Mishra to Vandana Katju, "Well done!", dated July 21, 2006	
EEE	9/17/13	9/17/13	Email from Surajit Thakur to Vandana Katju, Priti Dahani, etc., "Please keep this to yourselves..." dated Apr. 18, 2009	
FFF	9/18/13	9/18/13	Proffer Agreement (Aarti Kumar), dated Apr. 16, 2013	

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Defendant's Exhibit List

Exhibit	Date ID	Date Admitted	Description	Bates Range
GGG	9/18/13	9/18/13	Non Prosecution Agreement (Aarti Kumar), dated Apr. 29, 2013	
HHH	9/18/13	9/18/13	OVDI Letter (Aarti Kumar), dated August 20, 2013	
III	9/18/13	9/18/13	IRS Form 1040 (2010) Aarti Kumar	
JJJ	9/18/13	9/18/13	Linked In webpage, Aarti Kumar	
KKK	9/18/13	9/18/13	Email from Mayur Patni to Manasije Mishra, dated December 11, 2007 "2007 achievements"	
LLL	9/18/13	9/18/13	Email from Ashok to Aarti Kumar, dated April 24, 2008	
ZZZ	9/25/13	9/30/13	Resume of Martin G. Laffer, CPA	